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PATENT  
3891-0101P

IN THE U.S. PATENT AND TRADEMARK OFFICE

Applicant: Michael KAGAN, et al. Conf.: Unassigned  
Appl. No.: 10/000,456 Group: Unassigned  
Filed: December 4, 2001 Examiner: Unassigned  
For: NETWORK INTERFACE ADAPTER WITH SHARED DATA  
SEND RESOURCES

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FEB 06 2002  
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INFORMATION DISCLOSURE STATEMENT  
(SUBMISSION AFTER FILING OF AN APPLICATION  
BUT BEFORE FINAL REJECTION OR NOTICE OF ALLOWANCE  
OR CONCURRENTLY WITH A RULE 53(d) CPA APPLICATION  
OR WITH A RULE 1.114 RCE APPLICATION)

Assistant Commissioner for Patents  
Washington, DC 20231

February 4, 2002  
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Sir:

Pursuant to 37 C.F.R. §§ 1.97 and 1.98, applicant(s) hereby submit(s) an Information Disclosure Statement for consideration by the Examiner.

I. LIST OF PATENTS, PUBLICATIONS OR OTHER INFORMATION

The patents, publications, or other information submitted for consideration by the Office are listed on the PTO-1449(s), attached hereto.

II. COPIES (check at least one box)

- a. ☒ Submitted herewith is a legible copy of (i) each U.S. and foreign patent; (ii) each publication or that portion which caused it to be listed; and (iii) all other information or that portion which caused it to be listed.
- b. ☐ Some or all of the documents listed on the PTO-1449 are not enclosed because they were cited in the International Search Report and copies should already be in the PTO file. If copies are needed, please contact the undersigned.

III. CONCISE EXPLANATION OF THE RELEVANCE

(check at least one box)

a. ☒ **DOCUMENTS IN THE ENGLISH LANGUAGE**

The attached patents, publications, or other information in the English language do not require a statement of relevancy.

b. ☐ **DOCUMENTS NOT IN THE ENGLISH LANGUAGE**

A concise explanation of the relevance of all patents, publications, or other information listed that is not in the English language is as follows:

c. ☐ **ENGLISH LANGUAGE SEARCH REPORT**

An English language version of the search report or action that indicates the degree of relevance found by the foreign office is attached, thereby satisfying the requirement for a concise explanation. See MPEP 609(A)(3).

d. ☐ **OTHER**

The following additional information is provided for the Examiner's consideration.

FEES

IV. ☒ THIS IDS IS BEING FILED UNDER 37 C.F.R. § 1.97(b):  
(check one box)

- a. ☒ within three months of the filing date of a national application (37 C.F.R. § 1.97(b)(1)). No fee or statement is required. (This section is not to be used with RCE's and CPA's).
- b. ☐ within three months of the date of entry of the national stage as set forth in § 1.491 in an international application (37 C.F.R. § 1.97(b)(2)). No fee or statement is required.
- c. ☐ concurrently with the filing of a Continued Prosecution Application under 37 C.F.R. § 1.53(d) or concurrently with the filing of a Request for Continued Examination under § 1.114 (37 C.F.R. § 1.97(b)(4)). No fee or statement is required.
- d. ☒ before the mailing date of a first Action on the merits (37 C.F.R. § 1.97(b)(3)). No fee or statement is required.  
In the event that a first Office Action on the merits has been issued, please consider this IDS under 37 C.F.R. § 1.97(c) and see the statement under 37 C.F.R. § 1.97(e) below, or, if no statement has been made, charge our deposit account in the amount of \$180.00 as required by 37 C.F.R. § 1.17(p).

V. ☐ THIS IDS IS BEING FILED UNDER 37 C.F.R. § 1.97(c):  
(check one box)

before the mailing date of a Final Office Action under 37 C.F.R. § 1.113 (See 37 C.F.R. § 1.97(c)(1)) or before the mailing date of a Notice of Allowance under 37 C.F.R. § 1.311 (See 37 C.F.R. § 1.97(c)(2)).

- a. ☐ No statement; therefore, a fee in the amount of \$180.00 as required by 37 C.F.R. § 1.17(p).
- or
- b. ☐ See the statement below. No fee is required.

VI. STATEMENT UNDER 37 C.F.R. § 1.97(e) (check only one box)

The undersigned hereby states that

- a. ☐ each item of information contained in the IDS was first cited in any communication from a foreign Patent Office in a counterpart foreign application not more than three months prior to the filing of this IDS; or
- b. ☐ no item of information contained in the IDS was cited in a communication from a foreign Patent Office in a counterpart foreign application, and, to the knowledge of the person signing the certification after making reasonable inquiry, no item of IDS was known to any individual designated in 37 C.F.R. § 1.56(c) more than three months prior to the filing of the IDS.
- c. ☐ Some of the items of information were cited in a communication from a foreign Patent Office. As to this information, the undersigned states that each item of information contained in the IDS was cited in a communication from a foreign Patent Office in a counterpart foreign application not more than three months prior to the filing of this IDS. As to the remaining information, the undersigned hereby states that no item of this remaining information contained in the IDS was cited in a communication from a foreign Patent Office in a counterpart foreign application and, to the best of my knowledge after making reasonable inquiry, was known to any individual designated in 37 C.F.R. § 1.56(c) more than three months prior to the filing of this statement.

VII. PAYMENT OF FEES (check one box)

- ☐ A check in the amount of \$180.00 as required by 37 C.F.R. § 1.17(p) is enclosed for the above-identified fee.
- ☐ Please charge Deposit Account No. 02-2448 in the amount required by 37 C.F.R. § 1.17(p) for the above-indicated fee. A triplicate copy of this paper is attached.
- ☒ No fee is required.

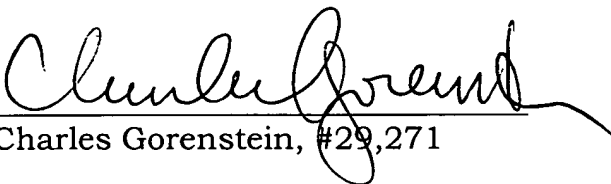
Appl. No. 10/000,456

If the Examiner has any questions concerning this IDS, he/she is requested to contact the undersigned. If it is determined that this IDS has been filed under the wrong rule, the PTO is requested to consider this IDS under the proper rule and charge the appropriate fee to Deposit Account No. 02-2448.

If necessary, the Commissioner is hereby authorized in this, concurrent, and future replies, to charge payment or credit any overpayment to Deposit Account No. 02-2448 for any additional fees required under 37 C.F.R. § 1.16 or under § 1.17; particularly, extension of time fees.

Respectfully submitted,

BIRCH, STEWART, KOLASCH & BIRCH, LLP

By   
Charles Gorenstein, #29,271

CG/cb  
3891-0101P

P.O. Box 747  
Falls Church, VA 22040-0747  
(703) 205-8000

Enclosures: ☒ PTO-1449  
☒ Documents  
☐ Foreign Search Report  
☐ Fee  
☐ Other:

(Rev. 10/31/01)



PATENT  
3891-0101P

IN THE U.S. PATENT AND TRADEMARK OFFICE

Applicant: Michael KAGAN, et al. Conf.: Unassigned  
Appl. No.: 10/000,456 Group: Unassigned  
Filed: December 4, 2001 Examiner: Unassigned  
For: NETWORK INTERFACE ADAPTER WITH SHARED DATA  
SEND RESOURCES

LETTER

Assistant Commissioner for Patents  
Washington, DC 20231

February 4, 2002

Sir:

Under the provisions of MPEP § 2001.06(b), the Examiner is hereby advised  
of the following co-pending U.S. Application(s):

| <u>Appl. No.</u> | <u>Filing Date</u> |
|------------------|--------------------|
| 09/870,016       | May 31, 2001       |
| 09/991,692       | November 26, 2001  |

Group

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The subject matter contained in the above-listed co-pending U.S.  
application(s) may be deemed to relate to the present application, and thus may be  
material to the prosecution of this instant application.

Copies of cited U.S. patent application(s) (specification, claims, and the  
drawings) or copies of the portion of the application which caused it to be cited,  
including any claims directed to that portion are attached hereto.

☐ The materials in the envelope are considered trade secrets and are  
being submitted for consideration under MPEP § 724.

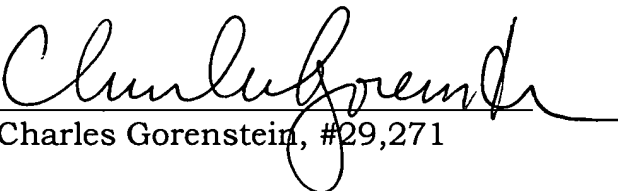
Appl. No. 10/000,456

The above-listed co-pending applications are not to be construed as prior art. By bringing the above-listed applications to the attention of the Examiner, Applicant(s) do(does) NOT waive any confidentiality concerning the above-listed co-pending application(s) or this application. See MPEP § 101. Furthermore, if said application(s) should not mature into patents, such application(s) should be preserved in secrecy under the provisions of 35 U.S.C. § 122 and 37 C.F.R. § 1.14.

If necessary, the Commissioner is hereby authorized in this, concurrent, and future replies, to charge payment or credit any overpayment to Deposit Account No. 02-2448 for any additional fee required under 37 C.F.R. §§ 1.16 or 1.17; particularly, extension of time fees.

Respectfully submitted,

BIRCH, STEWART, KOLASCH & BIRCH, LLP

By   
Charles Gorenstein, #29,271

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3891-0101P

P.O. Box 747  
Falls Church, VA 22040-0747  
(703) 205-8000

Form PTO-1449

**INFORMATION DISCLOSURE CITATION  
IN AN APPLICATION**

(Use several sheets if necessary)

 ATTY DOCKET NO.  
3891-0101P

 APPLICATION NO.  
10/000,456

 APPLICANT  
Michael KAGAN, et al.

 FILING DATE  
December 4, 2001

 GROUP  
Unassigned

**U.S. PATENT DOCUMENTS**

| EXAMINER<br>INITIAL | DOCUMENT NUMBER | DATE | NAME | CLASS | SUB<br>CLASS | FILING DATE<br>IF APPROPRIATE |
|---------------------|-----------------|------|------|-------|--------------|-------------------------------|
|                     |                 |      |      |       |              |                               |
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**FOREIGN PATENT DOCUMENTS**

|  | DOCUMENT NUMBER | DATE | COUNTRY | CLASS | SUB<br>CLASS | TRANSLATION |    |
|--|-----------------|------|---------|-------|--------------|-------------|----|
|  |                 |      |         |       |              | YES         | NO |
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**OTHER DOCUMENTS**

(Include Name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.) date, page(s), volume-issue number(s), publisher, city and/or country where published.

|  |  |
|--|--|
|  | The InfiniBand Architecture Specification, Release 1.0, October 2000. (Available at: <a href="http://www.infinibandta.org">www.infinibandta.org</a> .) |
|  | The IBM PCI-X to InfiniBand Host Channel Adapter, Produced by IBM Microelectronics Division, Hopewell Junction, New York, October 2000.                |
|  |  |
|  |  |

EXAMINER

DATE CONSIDERED

EXAMINER: Initial if citation considered, whether or not citation is in conformance with M.P.E.P. 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

3891-0101P

CG/cb